



Receipt

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant:  
Roberts

Art Unit: 2164

Serial No.: 09/965,443

Attorney Docket No: Roberts-1

Filing Date: 09/27/01

November 6, 2001

For: **METHOD AND SYSTEM FOR  
DIVERSIFYING RISK IN PRIVATELY-  
HELD STOCK**

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JAN 16 2002

Technology Center 2100

Office of Initial Patent Examination's Customer Service Center  
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Washington, DC 20231

**FILING RECEIPT CORRECTION**

Sir:

We are in receipt of the filing receipt for the above-captioned matter, a copy of which is enclosed herein. A request is hereby made for a corrected Filing Receipt.

Please note that the residence of the applicant, as evidenced by the attached application data sheets, is:

**151 Robson Court  
Kanata, Ontario, Canada K2K 2W1**

No fee is believed due in connection with this Request. In the event a fee is deemed necessary, authority is hereby given to charge against Deposit Account No. 04-1679.

Respectfully submitted,

Edward J. Howard  
Reg. No. 42,670

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I hereby certify that this Filing Receipt Correction is being mailed via first class with the United States Post Office under 37 CFR §1.10 on the date indicated above and is addressed to the Office of Initial Patent Examination's Customer Service Center, U.S. Patent and Trademark Office, Washington, DC 20231.

Susan Barlett



## UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/965,443	09/27/2001	2164	620	ROBERTS-1	7	45	4

CONFIRMATION NO. 5342

28581

ARTHUR L. PLEVY, ESQ.  
DUANE, MORRIS & HECKSCHER, LLP  
100 COLLEGE ROAD WEST, SUITE 100  
PRINCETON, NJ 08540-6604



## FILING RECEIPT



\*OC000000006979179\*

Date Mailed: 10/26/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

John Roberts, Residence Not Provided;

157 Robson Court  
Kanata, Ontario, CANADA  
K2K 2W1

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 10/26/2001

Projected Publication Date: 03/27/2003

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Method and system for diversifying risk in privately-held stock

Preliminary Class

705

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Extra. fees 11/2/01

9/27/02 Con. yr. Ends

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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 2-1-02


Bib Data Sheet

CONFIRMATION NO. 5342

<b>SERIAL NUMBER</b> 09/965,443	<b>FILING DATE</b> 09/27/2001 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 2164	<b>ATTORNEY DOCKET NO.</b> ROBERTS-1
<b>APPLICANTS</b> John Roberts, Kanata, CANADA;				
** CONTINUING DATA *****				
** FOREIGN APPLICATIONS *****				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b> ** 10/26/2001				
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Allowance Verified and Acknowledged _____ Examiner's Signature Initials		<b>STATE OR COUNTRY</b> CANADA	<b>SHEETS DRAWING</b> 7	<b>TOTAL CLAIMS</b> 45  <b>INDEPENDENT CLAIMS</b> 4
<b>ADDRESS</b> 28581				
<b>TITLE</b> Method and system for diversifying risk in privately-held stock				
<b>FILING FEE RECEIVED</b> 620	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	